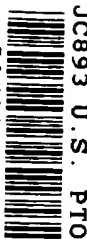


09-04-01

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08/31/01

Please type a plus sign (+) inside this box → ☒

PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. **PROP 98002D1**  
First Inventor or Application Identifier **Knight, Timothy O.**  
Title **Interface and Programs Using Visual Data Arrangments for Expressing User Preferences Concerning an Action or Transaction**  
Express Mail Label No. **EL009858136US**

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages **80**]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **3**]
4. Declaration / Power of Attorney [Total Pages **3**]
- a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☒ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) ☒ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☐ Other: .....

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No: **09,173,853**  
Prior application information: Examiner **Thomas Joseph** Group / Art Unit: **2173**

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **23694** or ☐ Correspondence address below  
(Insert Customer No. or Attach bar code label here)

|         |           |          |  |
|---------|-----------|----------|--|
| Name    |           |          |  |
| Address |           |          |  |
| City    | State     | Zip Code |  |
| Country | Telephone | Fax      |  |

|                   |                          |                                   |                |
|-------------------|--------------------------|-----------------------------------|----------------|
| Name (Print/Type) | <b>J. Nicholas Gross</b> | Registration No. (Attorney/Agent) | <b>34,175</b>  |
| Signature         | <i>[Signature]</i>       | Date                              | <b>8/31/01</b> |

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08/31/01

JC893 U.S. PTO

PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL  
for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 710)

## Complete if Known

|                      |              |
|----------------------|--------------|
| Application Number   | Not Assigned |
| Filing Date          | 8/31/01      |
| First Named Inventor | Knight       |
| Examiner Name        | Not Assigned |
| Group Art Unit       | Not Assigned |
| Attorney Docket No.  | PROP 98002D1 |

## METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

501244

Deposit  
Account  
Name

J. Nicholas Gross

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17

- ☒
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description        |
|-------------------------------|-------------------------------|------------------------|
| 101 710                       | 201 355                       | Utility filing fee     |
| 106 320                       | 206 160                       | Design filing fee      |
| 107 490                       | 207 245                       | Plant filing fee       |
| 108 710                       | 208 355                       | Reissue filing fee     |
| 114 150                       | 214 75                        | Provisional filing fee |

Fee Paid

355

SUBTOTAL (1)

(\$ 355)

## 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 55                 | -20** = 35   | 9              | 315      |
| 4                  | -3** = 1     | 40             | 40       |
| Multiple Dependent |              |                |          |

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description  |
|-------------------------------|-------------------------------|--|
| 103 18                        | 203 9                         | Claims in excess of 20                                     |
| 102 80                        | 202 40                        | Independent claims in excess of 3                          |
| 104 270                       | 204 135                       | Multiple dependent claim, if not paid                      |
| 109 80                        | 209 40                        | ** Reissue independent claims over original patent         |
| 110 18                        | 210 9                         | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$ 355)

\* or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION

(continued)

## 3. ADDITIONAL FEES

Large Entity  
Fee Code (\$)Small Entity  
Fee Code (\$)

Fee Description

Fee Paid

|            |            |  |  |
|------------|------------|--|--|
| 105 130    | 205 65     | Surcharge - late filing fee or oath  |  |
| 127 50     | 227 25     | Surcharge - late provisional filing fee or cover sheet                     |  |
| 139 130    | 139 130    | Non-English specification  |  |
| 147 2,520  | 147 2,520  | For filing a request for ex parte reexamination                            |  |
| 112 920*   | 112 920*   | Requesting publication of SIR prior to Examiner action                     |  |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action                        |  |
| 115 110    | 215 55     | Extension for reply within first month                                     |  |
| 116 390    | 216 195    | Extension for reply within second month                                    |  |
| 117 890    | 217 445    | Extension for reply within third month                                     |  |
| 118 1,390  | 218 695    | Extension for reply within fourth month                                    |  |
| 128 1,890  | 228 945    | Extension for reply within fifth month                                     |  |
| 119 310    | 219 155    | Notice of Appeal   |  |
| 120 310    | 220 155    | Filing a brief in support of an appeal                                     |  |
| 121 270    | 221 135    | Request for oral hearing   |  |
| 138 1,510  | 138 1,510  | Petition to institute a public use proceeding                              |  |
| 140 110    | 240 55     | Petition to revive - unavoidable   |  |
| 141 1,240  | 241 620    | Petition to revive - unintentional   |  |
| 142 1,240  | 242 620    | Utility issue fee (or reissue)   |  |
| 143 440    | 243 220    | Design issue fee   |  |
| 144 600    | 244 300    | Plant issue fee  |  |
| 122 130    | 122 130    | Petitions to the Commissioner  |  |
| 123 50     | 123 50     | Petitions related to provisional applications                              |  |
| 126 240    | 126 240    | Submission of Information Disclosure Stmt                                  |  |
| 581 40     | 581 40     | Recording each patent assignment per property (times number of properties) |  |
| 146 710    | 246 355    | Filing a submission after final rejection (37 CFR § 1.129(a))              |  |
| 149 710    | 249 355    | For each additional invention to be examined (37 CFR § 1.129(b))           |  |
| 179 710    | 279 355    | Request for Continued Examination (RCE)                                    |  |
| 169 900    | 169 900    | Request for expedited examination of a design application                  |  |

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 0)

## SUBMITTED BY

Name (Print/Type)

J. Nicholas Gross

Registration No.  
(Attorney/Agent)

34,175

## Complete (if applicable)

Telephone

(415)551-8298

Signature

Date

August 31, 2001

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